

**Lawrence Berkeley National Laboratory
Contract Assurance Council
Meeting Minutes**

**Wednesday, May 9, 2007
University of California—Office of the President
Franklin Building, Room 9204**

CAC members or representatives present:

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| Bruce Darling | Bob Van Ness | Al Diaz, by phone |
| Bob Foley | Buck Koonce | John Layton, by phone |
| Anne Broome | Larry Coleman | Bill Eklund for Jeff Blair |
| Patrick Reed | Judy Boyette | |

CAC members absent:

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| John Oakley | John Birely |
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UCOP Staff:

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| Jim Hirahara | Ron Nelson, by phone |
| Sharon Eklund | Sandy Vinson |

Guest participants:

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| Steve Chu, LBNL | Sandy Merola, LBNL | Jeffrey Fernandez, LB |
| David McGraw, LBNL | Jim Krupnick, LBNL | |

Welcome/Action Items

Bruce Darling welcomed members, guests, and special guest LBNL Director Steve Chu to the Contract Assurance Council (CAC) meeting. Jim Hirahara suggested that the Council postpone discussion of action items and April meeting minutes until the June Council meeting.

Conversation with Dr. Steven Chu

Director Chu provided his observations of how the Office of Institutional Assurance, the LBNL Advisory Board, and the Contract Assurance Council are working and addressed issues and questions raised by Council members.

Action Items:

| # | Responsible Party | Action | Date Added | Status |
|----|-------------------|---|------------|-------------|
| 28 | Chernowski LBNL | Review all changes in the signature authority-related systems | 01/10/07 | OPEN |

| # | Responsible Party | Action | Date Added | Status |
|----|-------------------------------|---|------------|------------------|
| 29 | Fernandez LBNL | Determine if work is performed in UCB space that is required to be performed at the Lab, in violation of contract or appropriation provisions. (Using Contract 31 funding to perform work in UCB lab space [rather than in more costly LBNL space] does not constitute a cost accounting standard violation.) | 01/10/07 | OPEN |
| 30 | McGraw LBNL | Contact UCOP regarding availability of matching funds a child care facility | 04/18/07 | OPEN |
| 31 | McGraw LBNL | Contact Grace Crickette, UCOP, regarding the availability of site-wide risk-management software | 04/18/07 | OPEN |
| 32 | Hatayama LBNL | Explore with BSO the possibility of using third-party validation of the key seven CAs | 04/18/07 | OPEN |
| 33 | Hirahara UCOP | Coordinate a review of possible application of LANL UCRP funding agreements to the LBNL contract | 05/09/07 | OPEN |
| | | <i>On-going Actions</i> | | |
| 5 | Eklund UCOP | Schedule a ten-minute Executive Session at the close of each CAC quarterly meeting. | 04/12/06 | Quarterly Action |
| 6 | Eklund UCOP | Schedule quarterly CAC meetings to be held at LBNL. | 04/12/06 | Quarterly Action |
| 7 | Hirahara UCOP | Implement a call for agenda topics prior to each meeting. | 04/12/06 | Monthly Action |
| 22 | Fernandez LBNL Broome UCOP | <ul style="list-style-type: none"> Report quarterly on supply chain initiative planned cost savings versus actual. Report on discussion regarding LBNL and UCOP purchasing alignment and economies of scale | 06/14/06 | Quarterly Action |

| | | <i>Completed or Cancelled Actions</i> | | |
|----|--------------------|--|----------|-----------------------------------|
| 1 | Chernowski LBNL | Modify Risk Registry report to include a column in which BSO concurrence with the current status of the item can be indicated. | 04/12/06 | Cancelled |
| 2 | Chernowski LBNL | Plan C31 Risk Registry updates for the quarterly meetings and as-needed at the monthly meetings. | 04/12/06 | Done—next report at 07/12 meeting |
| 3 | Fernandez LBNL | Brief the Council on how LBNL is tracking cost savings and the current status. | 04/12/06 | Done—held on 6/14 |
| 4 | Chernowski LBNL | Schedule a dry run of the presentation to senior LBNL and BSO management of second quarter performance. (UC-internal only). | 04/12/06 | Done—held on 05/02 |
| 8 | Merola LBNL | Provide the Council with the number of LBNL PIs working with controlled substances. | 05/10/06 | Done—presented on 6/14 |
| 9 | Merola LBNL | Provide the Council with the quantity of controlled substances ordered by LBNL annually. | 05/10/06 | Done—presented on 6/14 |
| 10 | Merola LBNL | Provide the Council with the number of discrete locations where controlled substances are handled at LBNL. | 05/10/06 | Done—presented on 6/14 |
| 11 | Hatayama LBNL | Personally review LBNL controlled substance and drug precursor processes and personnel to assure appropriate controls are in place—report back to CAC. | 05/10/06 | Done—presented on 6/14 |
| 12 | Hatayama LBNL | Personally review LBNL select agent processes and personnel to assure appropriate controls are in place—report back to CAC. | 05/10/06 | Done—presented on 11/08 |
| 13 | Eklund UCOP | Add <i>Select Agents</i> as a topic to a future CAC agenda. | 05/10/06 | Done—presented on 11/08 |
| 14 | Eklund UCOP | Add <i>Accounts payable</i> as a topic to a future CAC agenda. | 05/10/06 | Done—presented on 7/12 |
| 15 | Krupnick LBNL | Provide CAC with further detail on the thorium inventory and reportability. | 05/10/06 | Done—presented on 7/12 |
| 16 | Merola LBNL | Provide LBNL Advisory Board report to CAC when complete. | 05/10/06 | Done—presented on 8/9 |
| 17 | Hirahara LBNL | Invite Aundra Richards to 07/12 Quarterly CAC Meeting. | 05/10/06 | Done—discussed on 6/14 |

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| 18 | Koonce LBNL | Identify the UCOP senior management “owner” of the LBNL bonding issue. | 05/10/06 | Done— presented on 6/14 |
| 19 | Merola/ Burnside LBNL | <ul style="list-style-type: none"> Define operational requirements and associated agreements in regard to LBNL research on UCB campus. This includes ES&H and other operational requirements. Share results of the upcoming meeting of the Burnside Committee. | 06/14/06 (modified 10/11/06) | Done— presented on 12/13 |
| 20 | Merola LBNL | Explain how LBNL manages Principal Investigators. | 06/14/06 | Done— presented on 9/13 |
| 21 | McGraw/ Hatayama LBNL | Report on controlled substances process improvements. | 06/14/06 | Done—held on 01/10 |
| 23 | Koonce/ Eklund UCOP | Provide Susan Thomas, UC-GC, a copy of the policy and procedures regarding who in Purchasing should have access to the vendor master. | 07/12/06 | Done—sent on 07/19 |
| 24 | Krupnick LBNL Nelson UCOP | <ul style="list-style-type: none"> Provide further detail on LBNL Advisory Board report (independent operating ventures and need for review of oversight mechanisms references). Provide written response regarding operating ventures. Discuss UCOP plan for oversight | 08/09/06 (modified 10/13/16) | J. Krupnick verified that the Board was referring to the LLC when using the term “independent operating ventures.” Done—held on 01/10 |
| 25 | McGraw LBNL | Provide Council members with the LBNL pie chart that indicates how many PIs are from various campuses and other universities. | 09/13/06 | Done— presented on 12/13 |
| 26 | McGraw LBNL | Provide progress report on consolidation of authorities project and milestones for project completion. | 09/13/06 | Done—held on 01/10 |
| 27 | McGraw LBNL | Supply the Council members with a copy of the address Director Chu sent to LBNL PIs on the subject of their responsibilities. | 09/13/06 | Done—sent with September meeting minutes |